DOCUMENT RESUME

ED 481 876 HE 036 337

TITLE	Innovation and Impact: The Comprehensive Program FY 2004. Program Information and Application Materials.
INSTITUTION	Fund for the Improvement of Postsecondary Education (ED), Washington, DC.
PUB DATE	2003-00-00
NOTE	47p.
PUB TYPE	Guides - Non-Classroom (055)
EDRS PRICE	EDRS Price MF01/PC02 Plus Postage.
DESCRIPTORS	*Awards; *Educational Innovation; *Federal Aid; *Grants; *Higher Education; *Program Development
IDENTIFIERS	*Fund for Improvement of Postsecondary Education

ABSTRACT

The Comprehensive Program is the primary grant component of the U.S. Department of Education's Fund for the Improvement of Postsecondary Education (FIPSE). The Comprehensive Program supports innovative educational improvement projects that respond to problems of national significance. Proposals may be submitted by a variety of institutions and organizations, but not by individuals of for-profit schools and organizations. It is expected that 5 to 55 new FIPSE awards will be made in fiscal year 2002. The information in this application booklet is intended to aid in preparing proposals for this competition. It describes the two-stage application and review process and cites the authority under which the grants are made. The sections are: (1) "What Is Expected of a FIPSE Grant? Innovation and Impact"; (2) "FY 2004 Agenda for Improving Postsecondary Education"; (3) "Guide to Proposal Development"; and (4) "Application Instructions." Examples are given of some successful proposals in the past. Instructions include instructions for electronic applications. (SLD)

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FIPSE

FUND FOR THE IMPROVEMENT OF POSTSECONDARY EDUCATION

ED 481 876

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innovation and IMPACT

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The Comprehensive Program FY 2004

Deadline for Submission: November 3, 2003

Program Information and Application Materials

U.S. DEPARTMENT OF EDUCATION

FIPSE

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Program Information and Application Materials

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Comprehensive Program at a Glance

Purpose

The Comprehensive Program is the primary grant competition of the U.S. Department of Education's Fund for the Improvement of Postsecondary Education (FIPSE). The Comprehensive Program supports innovative educational improvement projects that respond to problems of national significance.

Eligibility

The improvement of postsecondary education requires the participation and cooperation of many types of institutions, organizations, and agencies. FIPSE supports a wide range of *non-profit* providers of educational services. Proposals may be submitted by two- and four-year colleges and universities, both public and private, accredited or non-accredited; graduate and professional schools; community organizations; libraries; museums; trade and technical schools; consortia; student groups; state and local government agencies; non-profit corporations; and associations. Proposals may be submitted by newly formed as well as established organizations, but not by individuals or for-profit schools and organizations. Other organizations may be eligible; the list here is not exhaustive.

Awards

The Department estimates that 50-55 new FIPSE awards will be made in FY 2004 for grants of up to three years. While there is no minimum or maximum grant award, the Department expects to award FIPSE grants ranging from $150,000 to $600,000 or more over a typical three-year period. The average grant in FY 2003 was $448,000 for three years. Grant budgets will be considered in the context of the proposed project's significance and promise as a model for the reform of American postsecondary education. The Department may also award 1-3 grants ranging from $600,000-$1 million, for three years, for projects making innovative use of new technologies that involve large scale, multiple partners, and wide geographic scope. These figures are only estimates and do not bind the Department of Education to a specific number of grants, or to the amount of any grant, unless that amount is otherwise specified by statute or regulations.

Matching

There is no mandated matching requirement. However, the Department expects grantees and their collaborating partners to share substantially in the cost of funded projects. Most FIPSE projects are expected to continue after the Federal funding period has ended, and grantees

should therefore plan eventually to take over the costs of program administration and operations.

Equipment/Infrastructure

FIPSE does not expect to provide support for large equipment purchases or for the development of computer networks or other infrastructure. Applicants are encouraged to leverage institutional and private investments to support these costs.

Two-Stage Application Process

The Comprehensive Program employs a two-stage application and review process. All applicants are required to submit a five-page preliminary proposal by the program deadline of November 3, 2003. These preliminary proposals will be reviewed and a select number will be invited to submit a "final" proposal up to 25 pages in length. Award decisions will be based upon review of the final proposals. The review process is more fully described below in the section entitled "Guide to Proposal Development."

Authority

Title VII, Part B of the Higher Education Act as amended in 1998 (Public Law 105-244) authorizes the Department of Education to make grants to improve postsecondary education opportunities through a broad range of reforms and innovations. Regulations are contained in the Code of Federal Regulations, Title 34 Part 75. In addition, the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 77, 79, 80, 81, 82, and 85 apply.

Application Notice

The official Application Notice is published in the *Federal Register*. The information in this application package is intended to aid in preparing proposals for this competition. Nothing in this application package supersedes the information published in the *Federal Register*.

Contact Information

(For information only; do **not** use this address to submit applications.)

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Web Site

For information about past and current projects, successfully evaluated projects from previous years, application information, evaluation resources, and more, visit FIPSE's World Wide Web site at: http://www.ed.gov/FIPSE.

What is Expected of a FIPSE Grant? Innovation and Impact

For many years, the Comprehensive Program has supported innovative postsecondary education reform projects. FIPSE has asked applicants to identify problems of national significance—problems that are commonly felt at postsecondary institutions across the country—and to create solutions to those problems that can be transferred to many additional settings. These solutions should be new strategies that improve upon what others in the field are already doing—or, they should translate existing strategies into different settings. Either way, an ideal FIPSE project creates new knowledge and practices. It sometimes challenges conventional thinking, perhaps even takes significant risks. But its most prominent feature is that it adds something new to the array of strategies educators can draw from to improve student access and achievement.

Fundamentally, FIPSE in its funding has advocated a grass roots model of reform: start with a good idea, try it to see how it works, and then share what you have learned with others. When this process works, the practices originating in a FIPSE project can be transferred to more and more new settings. Sometimes FIPSE projects stimulate new initiatives or complement other work by institutions, associations, other funding sources, and policy makers. The combined effect is a gradual and systemic transformation of educational practice nationally.

The Importance of Innovation and Significance

In the Comprehensive Program, FIPSE deems project ideas innovative if they have not been tried before – or if there is a significant challenge in adapting them to new settings or new target populations. FIPSE takes a national perspective when thinking about innovation. Part of the process of preparing a grant application is learning what others are doing and taking care not to "reinvent the wheel." Remember, innovation is possible at all types of institutions and in targeting all types of students. Sometimes by discovering a unique way to frame a problem, you have taken a giant step toward discovering an innovative solution. But, description of your project should be placed clearly in the larger, national picture, documenting the need for the specific strategies or services you propose. (See discussion under the Guide to Proposal Development section.)

Innovation by itself is often not enough. FIPSE challenges applicants to conceive, design, and manage projects in ways that promote sustained operations and growth, increase impact in other settings, and achieve other lasting and widespread impacts. A widely-felt problem in postsecondary education, an innovative solution, and likely impact on the field—all three elements contribute to FIPSE's view of a project's significance. Significance is a

primary criterion in determining fundability (see discussion of the selection criteria for evaluating proposals in the Guide to Proposal Development section).

The Importance of Collaboration

FIPSE urges its applicants to enlist collaborators in a strategic effort to broaden participation, expand resources, enlist new kinds of expertise, and reach more deeply into relevant professional communities.

Suppose that a university applying for a FIPSE grant were to request funding to reform the mathematics courses taught for pre-service teachers—a project implemented locally, but undertaken in the hope that the resulting curriculum would serve as a model for other interested institutions to adapt or replicate. Such a design would not likely create momentum leading to change at other institutions. It places the burden on others to learn about the reform, to initiate their own project from scratch, and to adapt materials/strategies designed specifically for the originating institution.

Contrast this with a project FIPSE actually funded a few years ago in Texas. It was a statewide effort among all the public teacher education institutions. First, they all worked together to agree upon how they would implement national standards, and then at each university they worked to change the relevant courses, in the process exchanging materials and ideas with each other. This more collaborative model enabled educators to multiply the effects of their individual efforts, it effected change throughout the State system, and it enabled a much more thorough evaluation of results.

Oftentimes, an innovative project idea is generated by an individual or a small group of colleagues primarily concerned about a problem in their own teaching in their own academic department. In such cases, the temptation may be for these individuals to submit a grant application that is fundamentally limited in scope, even though the problem may be felt commonly at postsecondary institutions. Instead, FIPSE urges all applicants to conceive projects from the beginning as ambitiously as possible. This may at times require applicants to enlist collaborators and build networks of like-minded professionals.

There is no single way to construct a more ambitious project, and your strategies will depend very much upon the staff and resources you have at hand and the nature of the problem you are dealing with. Nevertheless, FIPSE suggests you consider strategies such as the following:

- Partner with other organizations or create a consortium devoted to a particular reform idea.
- Partner with the private sector, especially publishers, technology companies, and other organizations that have marketing expertise, resources to distribute products, etc.
- Tackle bigger units (i.e., instead of departments, think institutional reform, system reform, etc.) and a greater range of associated issues.
- Enlist additional institutions to expand implementation and pilot testing.

- Work to expand reform efforts already initiated by associations, state systems, foundations, etc.
- Create portable products and help materials.
- Conduct training workshops to help others implement your ideas.
- Use the Internet not just to post materials but to create communities of professionals collaboratively working to implement and test new reform ideas.

Previous experience with FIPSE projects demonstrates that it is frequently better to increase participation early as a means to gather the additional resources and support you will need to sustain project growth after the end of FIPSE funding.

The Importance of Evaluation

All applicants to FIPSE should plan to conduct a project evaluation as part of the grant activities. This evaluation should focus primarily on determining *learning* outcomes, especially as measured by student performance and achievement, and not merely opinion surveys or self-reports. The evaluation, too, should focus on *project* outcomes, particularly if the project aims to change organizational structures, create cost-efficiencies, or achieve other ends not specifically represented by learning. In other words, your evaluation plan should be closely linked to the clear, measurable, performance objectives of the project. These quantitative and qualitative data are the results by which the success of your project will be judged. (See the discussion of review selection criteria in the "Guide to Proposal Development" section.)

This evaluation should be a multi-faceted research design to be conducted by an individual (or organization) that is independent of the project team and all its partners. However, your evaluator should be willing to work alongside the project team throughout the length of the project. The evaluator should be someone with good educational research skills, such as those commonly found in social science disciplines and schools of education. This person may, for example, be required to craft new instruments or learning assessments, in addition to using or adapting existing ones. The evaluator should help you to compile both formative data that you can use in improving your project and also summative results that can help you and others gauge your project's ultimate success.

You and all of your collaborators should be seriously committed to gathering the best evaluation data possible. Evaluation is an important tool that will help guide you in your work. Additionally, it is important for persuading the postsecondary education community, which may at times be skeptical, about the importance of your innovation.

Finally, your evaluation plan must include measures of 1) the extent to which your project is being replicated—i.e., adopted or adapted—by others; and 2) the manner in which your project is being institutionalized and continued after grant funding. These two results constitute FIPSE's indicators of the success of our program. (See the discussion of the Government Performance and Results Act under the discussion of review selection criteria in the Guide to Proposal Development section.)

The Importance of Dissemination

For FIPSE, dissemination is not simply the process of spreading the word about a new model practice, though this is an important first step. Rather, we consider it a more proactive process designed to influence the actual adaptation or transfer of a project to new settings. (Hence, some might find that "diffusion," "project transfer," or other words more closely match the meaning we intend.) By their very nature, the success of some grants will depend heavily upon the success of their dissemination activities, but even early pilots should pay attention to dissemination as well. Upon identifying an innovation, applicants should think about what it will take for a project to be transferred to new settings. Who needs to hear about the project? What will convince others to implement or adapt the project idea? What barriers will they face and what kinds of help might they need? Applicants should conceive their projects from the beginning with such questions in mind, and include activities aimed at building momentum for the process of dissemination.

In short, FIPSE expects that grants will be designed to include appropriate strategies to promote sustainability and scale-up at their originating institution(s) and dissemination to other settings. Although FIPSE provides seed funding, it is anticipated that funded projects will build enough momentum both to sustain themselves and to continue growing and influencing postsecondary practice even after the end of the FIPSE support.

Occasionally, FIPSE also makes grants explicitly to support the dissemination of proven educational reforms. By doing so, we hope to accelerate the pace of change at other institutions. In such instances, applicants will be expected to provide solid evidence from prior evaluation of improved learning or other important outcomes. The current priorities call specifically for proposals to disseminate proven methods for improving access, retention and completion. (See the access, retention and completion priority in the FY 2004 Agenda for Improving Postsecondary Education section.)

Education Reform in the Context of a Changing World

If you embark upon a funded grant project starting in the Fall of 2004, keep in mind that the project may not reach full maturity and achieve significant impact nationally for six to eight years. Changes such as the dramatic rise of information technology, the increasing diversity of postsecondary learners, the renewed demand for accountability, or the rise of competition among postsecondary providers are powerful enough to shape that immediate future of postsecondary education. We urge you now to embrace these changes and to develop bold new project ideas. These projects should aim to reshape the postsecondary education system so that its practices, values, and results are not simply the product of evolutionary drift.

FIPSE urges the field to develop education reform proposals in the context of this changing world. Traditionally, FIPSE has defined its grant programs as learner-centered, meaning that we have focused on educational improvements that promise to

benefit learners. Included in our definition have been those programs that have focused on the development of faculty or the improvement of teaching. FIPSE now aims to sharpen the focus from learners to learning by supporting educational improvements that result in improved learning. What do postsecondary institutions look like when they are committed to learning? How are they organized or structured? What are the implications for teaching, curriculum, credentialing, and many other postsecondary functions?

When applying for funding, faculty and all other applicants should keep in mind that their primary role is to support learning—and that their traditional ways of approaching this task may or may not be responsive to the larger forces influencing postsecondary education.

FY 2004 Agenda for Improving Postsecondary Education

FIPSE's Agenda for Improving Postsecondary Education supports President Bush's agenda for education reform, as well as FIPSE's traditional mission of improving the quality of postsecondary education and providing equal educational opportunity. As in previous years, FIPSE invites creative proposals in a variety of areas, including the following:

- improving the preparation of K-12 teachers.
- promoting reform of curriculum and instruction.
- designing cost-effective methods of instruction and operations.
- improving access to postsecondary education as well as student retention and program completion.

In addition to proposals addressing these specific priorities, the Comprehensive Program continues to invite proposals that address other important improvements in postsecondary education. All ideas should attempt to address problems within the context of the forces that are currently changing postsecondary education, such as the increased growth and diversity of the student population, the emphasis on accountability, the widespread impact of globalization, and the increased availability of technology to students and educators. Furthermore, all proposed projects should demonstrate both the innovation and impact discussed in the previous section.

Invitational priorities for the current competition are described more fully below, but proposals in other areas that address important changes are welcomed.

Improving K-12 Teaching

Improving the quality of teacher preparation at the postsecondary level is vital to improving student achievement at the K-12 level. FIPSE therefore invites postsecondary institutions to propose new models for the preparation of K-12 teachers.

Teacher Education

FIPSE invites proposals for innovative programs ensuring that future school teachers have a mastery of the academic disciplines they intend to teach. Earlier FIPSE projects directed at these goals have included curriculum reform at universities that traditionally graduate large numbers of teachers, the establishment of teacher preparation programs at liberal arts colleges, and efforts to help professionals in other fields take up second careers in teaching. Applicants are encouraged to propose new variations on these strategies and more novel strategies to improve teacher preparation in all subject areas. In addition, FIPSE seeks new professional development models in content areas such as mathematics, science, literacy, foreign languages, and other subjects, that enable current teachers to master the content they are teaching in order to engage their

students in higher-level learning and to successfully reach a diverse student population. With university leadership, such programs would build on partnerships between liberal arts departments, schools of education, and the elementary and secondary schools.

Recent studies document the increasing difficulty of retaining teachers in the profession. Clearly, this is a neglected piece of the oft-cited problem of teacher shortages. FIPSE is interested in strengthening the continuum of pre-service through in-service education of teachers such that classroom teachers have the skills, support and environment they need to find their profession rewarding rather than overwhelming.

Oregon University System

"Reading and Distance Education"

Many states are making new certification demands in an attempt to improve the quality of K-12 teachers. The Oregon Reading Education and Distance Education Project is a statewide effort to improve teaching of reading that is independent of any state testing of reading. The Oregon University System has developed a new statewide university/K-12/state agency partnership that takes three different approaches to improving literacy teaching: 1) An inter-institutional, distance-delivered Classroom Literacy (reading) Competency Certificate for regular classroom teachers; 2) distance offering of the Oregon Reading Endorsement; 3) enhancement of the knowledge/skills in teaching reading for pre-service teachers at six Universities. The key partners include the six teacher preparation universities of the Oregon System, the Teacher Standards and Practices Commissions (teacher licensing board), the Oregon Department of Education, and the Oregon Education Association.

Funding: $593,899
Cost share: $192,981 + $215,000 from other grant sources.

Partnerships with Schools

Earlier FIPSE grants have sought to improve student performance in college by forming partnerships between K-12 and postsecondary institutions and educators. This idea continues to have potential. Partnerships that promise parity in obligations, opportunities, and rewards are especially welcomed, as are those that involve faculty from a variety of disciplines. The deliberate articulation of curriculum between educational stages is one very promising strategy, helping students to avoid those gaps, repetitions, and arbitrary shifts in nomenclature and perspective that so often hamper students' progress as they move from school to postsecondary institutions, and from two-year to four-year institutions. FIPSE also has supported the articulation of student learning outcome assessments—especially in the areas of English, mathematics, and foreign language—and related improvements in the college admissions and placement processes. Proposals offering new visions of partnership between K-12 and postsecondary education that hold promise for widespread impact will be welcomed.

FIPSE also invites proposals addressing the retention and professional development of talented in-service teachers. Opportunities to develop expertise with the newest instructional technologies and to work directly with academic specialists at the university level are especially needed.

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Promoting Reform of Curriculum and Instruction

FIPSE continues to invite proposals for innovative reforms of curricula which not only focus on *what* students learn but also *how* they learn. Evaluations of these proposed model programs should include a rigorous assessment of their impact on student learning, whether that learning is at the college preparation, undergraduate, or graduate/professional levels.

Student-Centered Reforms

In recent years educators in mathematics, the sciences, humanities, foreign languages,and many professional fields have implemented a number of student-centered reforms in both content and pedagogy, particularly at the introductory levels of their disciplines. Transformation in the social sciences has been slower, but is no less necessary. FIPSE encourages faculty in all disciplines to examine opportunities at every level for rethinking curricular organization and content, including new interdisciplinary approaches, as well as for revolutionizing teaching techniques. Is it possible, for example, that the traditional organization of learning into "courses" will no longer be appropriate for student-centered instruction in the new century? FIPSE also welcomes innovative reformulations of core or general education programs, especially as they articulate with pre-college and two-year college programs.

Technology-Mediated Reforms

Because of the enormous potential of technology to advance curricular reform in many areas, FIPSE encourages efforts to develop cost-effective, technology-mediated improvements in teaching and learning in and across the various disciplines. But applicants should note that many valuable materials, already developed and tested on campuses across the country, receive only isolated use because they have not been effectively designed and disseminated for others. Applicants are encouraged to conceive from the beginning of their projects better ways to share materials and expand pilot testing to other institutions. We encourage proposals that explore collaborative development of technological

California State University, Los Angeles

"Project LEAP"

As increasing numbers of under-prepared native-born, immigrant, and international language minority students enter postsecondary education, faculty need assistance in dealing with the instructional demands of this burgeoning student population. Project LEAP is a three-year development effort to train faculty at California State University, Los Angeles, other CSU campuses, and institutions nationwide to integrate language and content instruction in courses across the disciplines and thereby improve the academic literacy of language minority students. This project builds on the original Project LEAP, a successful FIPSE-supported project in which selected general education courses known to be linguistically and conceptually challenging were enhanced with a language development focus.

Funding: $226,287
Cost share: $160,000 (est.)

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resources that have potential for wide application, to systematically evaluate the effectiveness of those resources in improving instructional quality, and to disseminate them to other interested parties.

Civic Education Reforms

Many students know surprisingly little about the fundamental institutions and processes of American civic life. They lack a basic sense of the history and governmental theory of our country. The challenge for our colleges and universities, and their faculties, is to develop strategies that combine student commitment to community service with curriculum and related classroom learning activities focused on the development of our democratic political traditions and our history of civic engagement. FIPSE encourages applicants to develop—in cooperation with their communities—innovative, experiential, interdisciplinary programs designed to provide students with a strong and informed sense of civic responsibility.

Designing More Cost-Effective Ways to Improve Instruction and Operations

Postsecondary education must re-examine its traditional methods of operation in order to achieve necessary cost-efficiencies. FIPSE encourages proposals to redesign courses, programs, departments, institutions, and systems—as well as rethinking staffing patterns and methods of instructional delivery—to maximize critical resources.

In 1998, in response to concerns expressed in Congress and among the public, FIPSE

Dickinson College

"A Consortial Approach to Controlling College Costs"

In an effort to confront fundamental issues involved in reducing college costs and stabilizing tuition, the colleges of the Central Pennsylvania Consortium (Dickinson College, Franklin & Marshall College, Gettysburg College, and Bucknell University) have created a joint entity to run selected business functions. Over a two-year period, this project will organize and implement a demonstration project which can meet institutional needs and serve as a model for other private colleges that are faced with the challenge of controlling costs and finding creative ways to reduce their historic dependence on tuition increases as the primary solution to maintaining balanced operating budgets. Five functional services in the corporate operations of the individual colleges have been identified as areas where collaborative efforts might yield cost savings: personnel, auxiliary services, contracted services, computing and technology, and selected business functions. It is anticipated that shared services of specialized personnel, economies of scale in volume purchasing of goods and services, and efficiency of shared training activities will lead to cost savings in the operating budgets of the respective institutions. Assessment of the project will be continuous, with internal and external evaluations to review new management practices and to analyze results in terms of efficiency and cost reduction. It is expected that the model developed from the project will be adaptable to other consortia around the country.

Funding: $142,050
Cost share: $85,000 (est.)

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conducted a special competition focused on controlling costs in postsecondary education. In the light of the postsecondary community's strong response to that competition, FIPSE is inviting applications for support of demonstration projects in postsecondary cost control through the Comprehensive Program. Given the ongoing importance of lowering college costs to increase access to postsecondary education, the Department is continuing to seek worthy projects that reduce costs, while maintaining or increasing learning.

Grant applications under this topic should show careful attention to measures of financial and educational impact. The difficulties of measuring educational outcomes and costs are well known, and FIPSE does not intend to set unrealistic standards of rigor. Nevertheless, applicants need to define very clearly what they will count as evidence that educational outcomes held constant or improved while real costs fell or rose more slowly than usual. Because the state of the art of measuring the real costs of postsecondary instruction is not very advanced, particular attention should be given to this issue.

Applicants are encouraged to consider a variety of possible responses to these challenges, such as the following:

- reform of general education offerings.
- reduction of credits required for a degree.
- reduction of duplicate course offerings within and between institutions.
- use of pedagogies that make students more responsible for their own progress and less dependent on faculty.
- creative uses of educational technology.
- the sharing of resources or business operations by institutions connected by geography or mission.
- strategies and policies to ease the transfer of credit between institutions.
- practices encouraging year-round college.

Innovative projects to develop new models of faculty service—particularly those addressing appropriate balance among faculty responsibilities, connections between student learning and faculty rewards, or alternatives to traditional systems of promotion, tenure, and faculty

Texas A & M University

"A Virtual Physics Department"

To confront the rising costs of providing advanced physics, the Texas Electronic Coalition for Physics, comprised of five branches of the TAMU system, has proposed a "virtual physics department" that will operate across these five institutions, offering the services of a full Physics Department in spite of small enrollments at each location. The Coalition has been actively experimenting with shared courses, teaching loads and student support for eight years. While their partnership is well established, the online structure and processes are new as are policies and procedures to unify the virtual department. Implementation throughout the TAMU system enables the smaller campuses to compete with a full Physics major and program.

Funding: $210,000
Cost share: $100,000

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City College of San Francisco

"National Articulation and Transfer Network"

Many underrepresented students are beginning their postsecondary experience at community colleges for a variety of reasons, including local access, cost, and flexibility. How can students from two-year colleges be encouraged to complete courses of study leading to associate and bachelors degrees? One important focus must be on the transfer process from two-year to four-year institutions. City College of San Francisco is developing a nationwide response to this problem called the National Articulation and Transfer Network (NATN). When fully established, NATN will provide a streamlined passage for any community college graduate who wishes to transfer to any of several hundred postsecondary minority institutions, including historically and traditionally black colleges and universities, Hispanic-serving institutions, and tribal colleges. Under a general articulation agreement to be developed between the community college sector and participating minority institutions, community college graduates will be able to transfer 60 credits towards the bachelors degree in almost any discipline. NATN will be implemented primarily through the Internet and will provide comprehensive information on minority institutions and their academic programs, real-time conversations with faculty and other academic advisors, virtual campus visits and other services designed to serve transfer populations. NATN is being developed with the full participation of the professional associations representing community colleges and minority institutions, to ensure its acceptance and complete implementation.

Funding: $865,000
Cost share: $6,017,652

review—are also encouraged. FIPSE seeks a variety of curricular, pedagogical, and administrative improvements that hold promise to serve as models for other institutions.

Improving Access, Retention, and Completion

FIPSE encourages educators at all institutions to propose new ways of ensuring access to postsecondary education. In order for both students and society to receive the greatest benefits, it is also vitally important to ensure successful completion of academic programs. However, many strategies and models have already been proven effective, and FIPSE is most interested in funding successful reformers who will help other institutions adapt or adopt these proven methods.

FIPSE seeks proposals that broaden educational opportunities to groups that historically have not had equal access to postsecondary education. Although progress has been made over the years to increase participation and graduation levels for all individuals, large gaps still exist between low-income and middle- and high-income students, between minority and non-minority students, and between students with disabilities and their non-disabled peers. The access and retention of students who are older, working, or caring for children also require special attention.

From an institutional perspective, a majority of college entrants now begin at community colleges. Thus, it is also important to focus attention on the role these institutions play, as sources of quality liberal arts, technical, and vocational programs and as gateways to

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further postsecondary education. This makes retention, completion, and transfer rates at community colleges especially significant. FIPSE encourages proposals to improve community colleges' academic and career programs, support services, articulation agreements with four-year colleges, and support of candidates for transfer.

Many institutions have had success with distance education programs designed to improve access, resulting in students in nearly every region of the country having additional academic options of high quality. FIPSE invites proposals that encourage collaboration among institutions and systems in distance learning, with the expectation that economies of scale will make the necessary investments in technology, curriculum and materials development; and faculty more cost-effective.

FIPSE is eager to help disseminate imaginative access and retention strategies that have been proven successful, including projects at institutions that have long experience in serving underrepresented students. These dissemination projects should:

- involve an innovation that is nationally significant;
- show thorough evaluation results, with strong empirical evidence of the method's success at the originating institution(s);
- have potential for adaptation elsewhere, with proposed adaptors ready to collaborate;
- present a dissemination plan that transfers both knowledge and strategies, developing sustainable liaisons with adapting sites and assisting in the implementation of new project demonstrations;
- impact significant numbers of learners. [note Evergreen example below]

The Evergreen State College
Washington Center for
Undergraduate Education
"Learning Communities Dissemination Project"

For the past twelve years, the Washington Center for Undergraduate Education has supported the development of learning communities. These approaches to curricular reform purposely restructure the curriculum to thematically link or cluster courses and enroll a common group of students, and have proven to be powerful factors in increasing students' engagement, retention, and intellectual development. They also offer important opportunities for faculty development. Established to serve campuses in the state of Washington, the Center has built a strong network of learning community expertise in that state. Many promising learning community programs have been discussed or initiated in other states as well, and their proponents have relied on the Washington Center for needed advice. In response, the Center obtained a FIPSE grant for a national dissemination project focused on strengthening and sustaining these incipient programs. The Center is working closely with twenty-one campuses as they more fully establish, assess and evaluate their learning community programs.

Funding: $208,271
Cost share: $399,300

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Guide to Proposal Development[1]

This discussion is intended to help you conceive and write a stronger proposal by alerting you to the ways in which it will be read and judged, and by providing you instructions on how to submit an application. We recognize that some of the questions or issues raised here may not pertain to your particular project, and the following remarks are not intended to oblige you to organize your proposal around direct responses to all of them.

Understanding Funding Practices and Review Processes

Before You Prepare an Application

Because of FIPSE's broad eligibility criteria and expansive programmatic interests, the Comprehensive Program receives a large number of preliminary proposals each year. The preliminary proposal process is designed to be inclusive, to encourage submission of meritorious ideas. Only a brief narrative is required, covered by a title page and a budget sheet. But the task of composing the preliminary proposal is not an easy one, and its quality will determine whether an applicant is invited to prepare a final proposal. Of those proposals invited into the final round of the competition (15-20 percent), FIPSE is able to fund one in every three or four. Although the Comprehensive Program is certainly competitive, applicants new to Federal grantsmanship should not be discouraged. Almost half of FIPSE's current project directors have never before directed a Federal grant, and only one in ten has previously been in charge of a FIPSE project. About one-quarter of each year's awards go to applicants who did not receive a grant on their first attempt, but who used the external reviews and conversations with FIPSE staff to prepare an improved proposal in a subsequent year.

FIPSE takes a national perspective in its grant funding. Both the importance of a project and the innovation represented by its proposed solution are therefore considered in relation to the needs of the postsecondary community as a whole. Applicants are advised to describe the problem or opportunity they wish to address in both its local and national contexts. Is it common to a number of other postsecondary institutions besides your own? Does it affect a substantial number of students at those institutions? If it affects a relatively small number, is the problem so serious that it jeopardizes their ability to succeed in postsecondary education, or the opportunity so great that it can transform their learning?

[1]This program information is intended to aid applicants in applying for assistance under this competition. Nothing in this application package is intended to impose any paperwork, application content, reporting, or grantee performance requirement beyond those specifically imposed under the statute and regulations governing the competition.

Model programs addressing many common issues of postsecondary reform already exist. Some have been developed with the support of FIPSE or other funding agencies; many others were implemented without any outside grant support. Applicants are encouraged to begin their search for solutions by examining what others have done to address the issue or problem of concern, and to adapt appropriate current models wherever possible. It is when your research indicates that there are no appropriate models, or that current models can be substantially improved, that you should consider an application to FIPSE. We will welcome your ideas.

FIPSE's World Wide Web site (http://www.ed.gov/FIPSE) contains information resources that would be useful to a prospective applicant in developing a proposal. One of these is *Lessons Learned*, an occasional FIPSE publication, containing descriptions and results of many well-evaluated FIPSE projects. The website also has descriptions of all currently funded projects, evaluation information and suggestions, material on other competitions, and funding advice from FIPSE program officers.

Prospective applicants should note that, although we do not review draft proposals, FIPSE program officers are happy to discuss project ideas by telephone or in person, particularly in the summer and fall before the preliminary proposal stage begins. Call the FIPSE office to set up an appointment.

Cost Sharing/Institutional Support

The Comprehensive Program does not mandate any particular rate for cost-sharing or matching funds. However, the applicant institution and any partners should significantly support the project both philosophically and financially. Because FIPSE applicants are often seeking support that will develop or strengthen their own programs or capacities, we expect the host institution and its partners to contribute substantial resources, in some cases even matching or exceeding the Federal request. This will not always be the case, however, as individual circumstances and the resources available to participating institutions may vary.

Indirect Cost Rates

FIPSE does not specify a particular indirect cost rate because the rate proposed is taken as an indication of institutional commitment, and this may vary from project to project, and institution to institution. Some of our applicants request no indirect costs at all. As a reference point, however, FIPSE staff generally use the U.S. Department of Education training rate of eight percent (8%) of total direct costs as a basis for judgments about reasonable indirect costs.

Recommended Proposal Outline

There is no standard or required outline for writing your proposal narrative; however, it is **not** generally recommended that you organize your whole proposal in sections separately detailing your response to each of the review criteria. Rather, you should aim to write a clear, naturally flowing essay that is interesting, easy to read, and visually appealing.

It can be a particular challenge to write a short "preliminary proposal" because of the length restrictions. Nevertheless, you need to provide enough detail for reviewers to understand what you are proposing, why it is important, how your project will be implemented, and, at least minimally, how it will be evaluated.

Most applicants, whether writing a preliminary or a final proposal, will tend roughly to follow an outline such as the following:

- Briefly describe the problem you intend to address, connecting it to larger changes affecting postsecondary education.
- Explain the way in which your proposed solution is an improvement on existing practice nationally or an innovative approach whose results could be significant to postsecondary education.
- Explain what exactly you propose to do about this problem. (Note: if you are submitting an application for a grant disseminating a proven reform, you will additionally want to describe the prior work and results upon which you are building.)
- Explain the workplan and, as appropriate, each participant's role in completing the project.
- Clearly state the primary objectives and outcomes of the project and describe how you plan to evaluate whether you have achieved them.
- Describe your strategies for dissemination and for expanding the scope of your pilot, and/or for achieving widespread impact on postsecondary reform.

The Review Process

In order to evaluate efficiently a broad range of proposals, the Comprehensive Program's review process consists of two stages—the first involving the preliminary proposal (a five-page, double-spaced narrative and a summary budget), and the second involving the final proposal (a twenty-five-page, double-spaced narrative, a budget, and a budget narrative).

Preliminary Proposals

Preliminary proposals are first examined by a group of external reviewers, identified each year from among faculty, administrators, or other professionals across the country, and chosen for their understanding of a broad range of issues in postsecondary education. A new group of readers is selected each year. Staff then carefully consider both the proposal and the reader reviews, and recommend to the FIPSE Director which applicants should be invited to submit final proposals.

Your preliminary proposal should give external reviewers and FIPSE staff a

concrete understanding of the problem you are addressing and the solutions you propose, including a brief description of how you will evaluate the results. As noted above, it should be clear how your project strategy differs from and improves upon current practice at your institution and elsewhere in the nation.

Applicants should note that, at the preliminary proposal stage, external reviewers may or may not be experts on the particular topics of your grant application. It is therefore important to write the proposal narrative for an audience of generalists, using clear, direct language and avoiding jargon, clichés, and acronyms whenever possible. Given the volume of submissions, the preliminary proposal narrative must be limited to five double-spaced pages, or approximately 1,250 words. We recommend that no appendices or letters of recommendation be submitted at this stage.

Final Proposals

If you are invited to submit a final proposal, a FIPSE program officer will discuss with you by telephone both the external reviewers' and the staff's reactions to your preliminary application, and will remain available to answer questions and offer suggestions to assist you in strengthening the final proposal.

Final proposals are also read by at least two outside reviewers, including specialists in your subject. Additional experts may review proposals when technical questions arise. FIPSE staff then carefully read and discuss the proposals and the external reviews. Project directors of the most competitive applications may be telephoned to clarify information about their projects. Staff may also contact others who know the applicant's work and plans, or who will be affected by the project.

Again at the final proposal stage, it is important to present your ideas in clear language that will help readers to understand precisely what you intend to do and how you will do it. Your final proposal narrative should not exceed 25 double-spaced pages, or approximately 6,250 words.

To ensure that all applicants enjoy the same opportunity to present their ideas, please conform to the page limitations noted above, use minimum 1-inch margins, and avoid font sizes smaller than 11 points.

Aligning Your Proposal to the Review Selection Criteria

The Government Performance and Results Act (GPRA) and Your Application

The Government Performance and Results Act (GPRA) of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency clearly states what it intends to accomplish, identifies the resources required, and regularly reports its progress to the Congress. In doing so, GPRA is improving accountability for the expenditures of public funds, improving Congressional decision-making with more thorough and objective information on the effectiveness of Federal programs, and

promoting a new government focus on results, cost-effectiveness, service delivery, and customer satisfaction.

The success of FIPSE's Comprehensive Program depends upon 1) the extent to which funded projects are being replicated—i.e., adopted or adapted—by others; and 2) the manner in which projects are being institutionalized and continued after grant funding ends. These two results constitute FIPSE's indicators of the success of our program.

If funded, you will be asked to collect and report data from your project on steps taken toward these goals. Consequently, applicants to FIPSE's Comprehensive Program are advised to include these two outcomes in conceptualizing the design, implementation and evaluation of the proposed project. Consideration of FIPSE's two performance outcomes is an important part of many of the review criteria discussed below. Thus, it is important to the success of your application that you include these objectives. Their measure should be a part of the project evaluation plan, along with measures of objectives specific to your project.

Selection Criteria

Our intent in this section is to help applicants understand how the selection criteria are applied during the preliminary and final review stages. FIPSE does not group proposals rigidly by types of activities, sectors of postsecondary education, or other fixed categories. Instead, in our desire to identify the most significant issues and feasible plans, we compare each proposal to all others, using the criteria described below.

Each selection criterion is presented in bold type, and followed by a discussion of how it applies to the competition. The external readers and staff reviewers of your proposal use these criteria to guide their reviews at both stages of the Comprehensive Program competition, so it is in your interest to be familiar with them. The final decision on an application is based on an overall assessment of the extent to which it satisfactorily addresses all the selection criteria, which are weighted equally.

Preliminary Proposals

Preliminary proposals will be considered according to the following four criteria, weighted equally:

1) **The need for the project, as determined by the following factors:**

   a) the magnitude or severity of the problem addressed by the project; and

   b) the magnitude of the need for the services to be provided or the activities to be carried out by the project.

You should describe the nature and magnitude of the problem or opportunity you wish to address, *in both its local setting and a national context.* The second section of this booklet, "FY 2003 Agenda for Improving Postsecondary Education," identifies some areas of needed reform, but you may choose to focus on a topic not specifically mentioned in these guidelines, or you may choose to address more than one topic in a single project.

How central is the problem you have identified to your institution's vitality or the effectiveness of your educational services? Does the same problem affect

other institutions around the country? Have attempts to remedy the situation been made by you or by others in the past, and with what results? What will be the local and national consequences of a successful completion of your project? Are other institutions or organizations likely to benefit or learn from your experience in ways that would enable them to improve their own programs and services?

In short, the need or problem should be widely-felt, and the need for the particular response should be clear. Your strategies should be carefully designed to address the central causes of the problem you are addressing, based on your own research and experience, and based on previous experiments by others. Scatter-shot approaches to vaguely-defined problems make poor prospects for funding.

2) **The significance of the project, as determined by the following factors:**

   a) the extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies;

   b) the potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies;

   c) the importance or magnitude of the results likely to be attained by the proposed project; and

   d) the potential replicability of the proposed project, including its potential for implementation in a variety of settings.

It is not adequate merely to address an important problem; it is also crucial that your proposal offer a solution to that problem that is innovative. Furthermore, it must be a solution that has far-reaching potential for large-scale implementation and for replicability or impact (one of the GPRA indicators discussed above).

Reviewers will appreciate any evidence you can include to illustrate how your project differs from and improves upon previous efforts. Describe the potential contribution of your project to demonstrating effective, new reform strategies and the likely utility of the products (such as information, materials, processes, or techniques) that will result from it for other institutions. It is the applicant's responsibility to set a context within which reviewers can assess the project's importance to postsecondary education reform.

FIPSE seeks to make the most of its limited funds by supporting projects that can become models for others in postsecondary education. Applicants should discuss the potential replicability of the proposed project, and its potential for implementation elsewhere.

Keep in mind that, if your project activities are heavily dependent on external funding, it will be very difficult for other institutions to adapt them on their own, and this may reduce the potential replicability or impact of your project.

3) **The quality of the project's design, as determined by the following factors:**

   a) the extent to which the design of the proposed project is appropriate to, and will successfully address, the

needs of the target population or other identified needs;

b) the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;

c) the extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or strategies employed by the project; and

d) the extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

Directly or indirectly, learners should be the principal beneficiaries of your project. This means, for example, that faculty development proposals should articulate the relationship between what the faculty will experience and what their students will learn. Our focus on the learner also means that FIPSE is especially interested in evaluation plans that assess projects in terms of their consequences for student learning.

Your narrative should offer reviewers a clear description of who will do what, when, where, why, and with what anticipated results. The project's goals and objectives should be clearly identified and measurable. Much less detail, of course, will be possible in the 5-page preliminary proposal narrative, as compared to the 25-page final narrative.

Note that FIPSE does not support basic research; rather, its focus is to implement projects that test new approaches to postsecondary education.

All proposed projects should include plans for disseminating their approaches to learning so that others may adapt these approaches in their own settings. There are many ways of informing others of a project's results, and of helping others make use of your experience. In reviewing plans for dissemination or adaptation, we ask whether the methods proposed are appropriate for the project in question, whether they improve upon methods used elsewhere, and what will be the scale and impact of the results.

Some projects are themselves efforts to disseminate proven approaches to reform. If the central purpose of your project is dissemination, please review the discussion under "What Is Expected of a FIPSE Grant? Innovation and Impact" earlier in this application package.

4) **The quality of the project's evaluation, as determined by the following factors:**

a) the extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;

b) the extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and

c) the extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

Evaluation should be an important part of your project planning, and your preliminary proposal should include a brief description of how you intend to document the activities and results of your project. (In the final proposal we ask for a specific section on evaluation in which you present the details of your evaluation design.) Any evaluation plan should include the FIPSE performance indicators discussed within the GPRA section above.

Final Proposals

Final proposals will be considered in light of the following seven criteria and their factors, all weighted equally:

1) **The need for the project, as determined by the following factors:**

   a) the magnitude or severity of the problem addressed by the project; and

   b) the magnitude of the need for the services to be provided or the activities to be carried out by the project.

See discussion of the need criteria for preliminary proposals above.

2) **The significance of the project, as determined by the following factors:**

   a) the potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies;

   b) the extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies;

   c) the importance or magnitude of the results likely to be attained by the proposed project; and

   d) the potential replicability of the proposed project, including its potential for implementation in a variety of settings.

See discussion of the significance criterion for preliminary proposals above.

3) **The quality of the project's design, as determined by the following factors:**

   a) the extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs;

   b) the extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;

   c) the extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or strategies employed by the project; and

d) the extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

Philosophically, FIPSE grants are intended to provide seed capital for the initial development or expansion of innovative projects, not for the ongoing support of existing program operations. However, grants will generally be used to support programs or activities that are intended to continue after a grant ends. When this is the case, your proposal should have a clear and convincing plan for long-term continuation that includes explicit commitments from those who will be responsible for sustaining the activity.

See additional discussion under the project design criterion for preliminary proposals above.

4) **The quality of the project evaluation, as determined by the following additional factors:**

a) the extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;

b) the extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and

c) the extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

Formative evaluation can help you manage your project more effectively, and a strong summative evaluation, especially if it documents the project's effects on the learner, can turn a successful project into a national model for improvement in postsecondary education. As you develop your evaluation plan, place yourself in the position of the recipient of your final evaluation report. What would count as solid quantitative and qualitative evidence that your project had succeeded, or failed? It may be difficult, within the term of the grant, to assess accomplishment of long-range objectives, but you should be able to identify some short-term indicators. Bear in mind that the goals of local institutionalization and wider impact may well elude you unless you can provide solid evidence that your project is achieving its aims. Developing such evidence should not be put off until the last stages of a project. It must be a consideration from the design stage onward.

Before a project can become a model, its proponents must be able to prove that it has achieved its aims in its original setting. That is why a solid evaluation plan, one that focuses as much as possible on precisely how the project has helped students to become better educated, is an essential component of FIPSE projects.

In light of the GPRA section above, all evaluation plans must include measures of the following indicators: 1) the extent to which funded projects are being replicated—i.e., adopted or adapted—by others; and 2) the manner in which

projects are being institutionalized and continued after grant funding.

FIPSE provides a bibliography of books and articles on program evaluation to assist you with evaluation design. These references clarify formative and summative evaluation. They address evidence, measurement, and sampling questions, as well as data collection and analysis. They also discuss the immediate and long-range outcomes you can expect based on your project objectives. This bibliography is available on FIPSE's website, or by telephone or mail request to the FIPSE office.

5) **The quality of the management plan,** as determined by the plan's adequacy to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

6) **The quality of project personnel, as determined by the following factors:**

   a) the qualifications, including training and experience, of key project personnel; and

   b) the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

The qualifications of key personnel, including the project director and any consultants or subcontractors, should be briefly outlined in an appendix to the final proposal. Please note that a standard curriculum vitae is usually not appropriate for this purpose. What is needed is a brief (two pages maximum) narrative summary of each individual's background, with a special focus on those experiences related to the topic of your application.

7) **The adequacy of resources for the proposed project, as determined by the following factors:**

   a) the extent to which costs are reasonable in relation to the objectives, design, and potential significance of the proposed project;

   b) the demonstrated commitment of each partner in the proposed project to the implementation and success of the project; and

   c) the potential for continued support of the project after Federal funding ends, including the demonstrated commitment of appropriate entities to such support.

A detailed budget and justification attached to your final proposal should itemize the support you request from FIPSE and the support you expect to obtain from sources other than FIPSE.

FIPSE is especially interested in projects designed to be cost-effective, to increase the likelihood that successful efforts may be continued beyond the period of a FIPSE grant, and to be replicated by others. But cost-effectiveness must not imply insufficient resources to accomplish the project's goals and objectives. Costs should be allocated, and will be judged, in comparison to the scope of the project and the requirements for achieving its objectives.

It is important to provide evidence that the plans you propose have the support of those who will authorize them, those who will carry them out, and those who will be affected by them. At the preliminary proposal stage, it is enough to note such support in your narrative. Final proposals should include, in an appendix, letters of specific commitment and support from senior administrators of the host institution, any partners in the project, other key constituents, and, if desired, national experts on the issues addressed in the proposal. Applicants are advised that the quality of letters of support is important, not their quantity.

When planning for long-term institutionalization, it is often desirable to create a project budget in which there is increasing reliance on institutional resources and gradually decreasing FIPSE support during the life of the grant.

Because issues of cost are often critical for institutionalization and continuation after grant funding, proposals requiring grant dollars for student financial aid or equipment are rarely competitive. Instead, we expect that projects requiring such funds will acquire the money from other sources. Grants cannot be used for the purchase of real property or for construction. See the section above about cost sharing or institutional support.

Application Instructions

The Comprehensive Program has a two-stage submission and review process. To be eligible to submit a final proposal and to qualify for funding consideration, all applicants must submit a preliminary proposal on or before November 3, 2003.

FIPSE will review the preliminary proposals and, on or about January 23, 2004, will mail notifications to applicants invited to submit final proposals. Final proposals must be submitted on or before March 22, 2004.

The announced closing dates and procedures for guaranteeing timely submission will be strictly observed.

Applicants should also note that the closing date applies to both the date the application is mailed and the hand delivery date. A mailed application meets the requirements if it is mailed on or before the pertinent closing date and the required proof of mailing is provided. Proof of mailing may consist of one of the following: (a) a legible dated U.S. Postal Service postmark; (b) a legible receipt with the date of mailing stamped by the U.S. Postal Service; (c) a dated shipping label, invoice, or receipt from a commercial carrier; or (d) any other proof of mailing acceptable to the Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary will not accept either of the following as proof of mailing: (1) a private metered postmark, or (2) a mail receipt that is not dated by the U.S. Postal Service.

Please use first class or express mail. (Overnight delivery is highly encouraged.) All applicants will receive acknowledgment notices upon receipt of preliminary and final proposals from the Application Control Center. If you do not receive an acknowledgment notice within six weeks of the closing date, please contact FIPSE using the address or phone number in the introduction to these guidelines.

Please wait the full six weeks before contacting us for an acknowledgment.

Mailing Address for Preliminary and Final Proposals

FIPSE Comprehensive Program
ATTN: 84.116A
U.S. Department of Education
Application Control Center
Room 3671, ROB-3
Washington, DC 20202-4725

Telephone: 202-708-9493

Submission Procedures for Preliminary Proposals

Delivery Modes

Mailed Proposals

Proposals sent by mail—whether the U.S. Postal Service or commercial carrier—must be sent no later than November 3, 2003, using the Application Control Center address above. First class mail should be used. **Overnight delivery is highly encouraged.**

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Hand Delivered Proposals

Preliminary proposals will be accepted daily between the hours of 8:00 a.m. and 4:30 p.m., Washington, D.C. time except Saturdays, Sundays, or Federal holidays, at the Application Control Center, General Services Administration Building, 7th & D Streets, S.W., Room 3671, Washington, D.C. Preapplications will not be accepted after 4:30 p.m. on November 3, 2003

Electronically Delivered Proposals

Preliminary proposals submitted through the Internet, using the software provided on the e-Grants website (http://e-grants.ed.gov), must be sent by 4:30 p.m. (Washington, D.C. time) on November 3, 2003. See details on electronic submission in section below.

Number of Copies

All mailed and hand delivered applications must submit one (1) signed original and two (2) complete copies of the preliminary proposal. Each copy must be covered with a Title Page, ED 40-514 (included with these guidelines) or a reasonable facsimile. Applicants are also requested to submit three (3) additional copies of the Title Page itself. (Electronic submissions do not require copies).

Preliminary Proposal Content

Preliminary proposals should be written clearly and concisely, and should include the following:

1. Title Page
   Use Form ED 40-514 or a suitable facsimile to cover each copy of the proposal. At the preliminary stage, you need not complete items 1 and 2. Be sure your proposal abstract (item 8) is clear and concrete, as it will be used at several points in the review. See the Title Page Instructions for additional information.

2. Narrative
   It should consist of no more than five double-spaced, numbered pages, or approximately 1,250 words and in font size no smaller than 11 point. Please review the selection criteria in the Guide to Proposal Development and the general recommendations for your proposal outline. Although no standard outline is required, you should be mindful of the four review criteria (under Guide to Proposal Development section) for preliminary proposals:

   a) Briefly describe the problem you intend to address and its importance locally and nationally;

   b) Explain how your strategy would improve upon present practice, locally and nationally, i.e., how it is innovative and would likely have significant results for the field;

   c) State your objectives and describe what you intend to do to achieve them;

   d) Describe how you plan to evaluate whether you have achieved your objectives.

3. Budget Summary
   At the preliminary stage, you are not required to provide a detailed budget or justification. However, you should carefully estimate major expenditures, as indicated on the budget summary form,

and submit the completed form. Proposals that request equipment funds, student financial assistance monies, or high indirect costs are rarely competitive. FIPSE cannot support construction costs, nor can it purchase facilities.

4. Appendices
   Please do not submit appendices, resumes or letters of support at this stage.

Upon receiving your preliminary proposal, the Application Control Center will mail you an acknowledgment that will include the reference number (PR/Award Number) that has been assigned to your application. It will begin with "P116A", followed by a six-digit number. Always mention the complete PR/Award number in your communications with FIPSE.

Submission Procedures for Final Proposals

Delivery Modes

Mailed Proposals

Proposals sent by mail—whether the U.S. Postal Service or commercial carrier—must be sent no later than March 22, 2004, using the Application Control Center address above. Express mail should be used. **Overnight delivery is highly encouraged.**

Hand Delivered Proposals

Hand delivered proposals will be accepted daily between the hours of 8:00 a.m. and 4:30 p.m., Washington, D.C. time, except Saturdays, Sundays, or Federal holidays, at the Application Control Center, 7th & D Streets, S.W., Room 3671, General Services Administration Building, Washington, D.C. Proposals will not be accepted after 4:30 p.m. on March 22, 2004.

Electronically Delivered Proposals

Final proposals submitted through the Internet, using the software provided on the e-Grants website (http://e-grants.ed.gov), must be sent by 4:30 p.m. (Washington, D.C. time) on March 22, 2004. See details on electronic submission below.

Number of Copies

All mailed and hand delivered applications must submit one (1) signed original and two (2) complete copies of the final proposal, although four (4) copies are requested. Each proposal copy must be covered with a Title Page, Form ED 40-514, or a reasonable facsimile. Applicants are also requested to submit three (3) additional copies of the Title Page itself. (Electronic submissions do not require copies).

Final Proposal Content

Final proposals should be concise and clearly written, and should include the following:

1. Title Page
   Use Form ED 40-514 or a suitable facsimile to cover each proposal copy. Please include a brief abstract of your project in the space provided. Additional instructions are found in the Title Page Instructions.

2. Abstract
Attach a one-page, doubled-spaced abstract following the Title Page (this is in addition to the abstract requested on the Title Page itself). The abstract should identify the problem or opportunity being addressed, the proposed project activities, and their intended outcomes. It should also include a concise summary of what is innovative and significant about the project.

3. Proposal Narrative
Please review the selection criteria in the Guide to Proposal Development and the general recommendations for your proposal outline. Your narrative should be limited to no more than 25 double-spaced, numbered pages, or approximately 6,250 words, and you should use a font size no smaller than 11 point. Although FIPSE does not prescribe a standard outline for all applicants, you should be mindful of the seven review criteria for final proposals as described in the Guide to Proposal Development section: 1) document the issue, problem, or need you are addressing, both locally and nationally; 2) describe the proposed strategies and how they are innovative or improve existing practice nationally; 3) describe the objectives of your project, the expected outcomes and likely impact on others; 4) discuss in detail your plans for evaluation; 5) give a detailed work plan and schedule; 6) identify and briefly describe the key staff and the management structure; and 7) describe your institution's capacity and commitment to the project. If someone other than the named project director was the principal writer of the proposal, please include his or her name, title, and affiliation at the end of the narrative.

In your narrative you should include a two-column chart, with column one listing, for each year of the project, the major goals and objectives; and, column two listing how attainment of that goal or objective will be evaluated, i.e., measured. Also, it must be clear from the proposal narrative how your budget request relates to the attainment of these goals and objectives.

4. Budget Summary and Detailed Budget
Use the one-page budget summary included with these guidelines or a suitable facsimile to present a complete budget overview. In addition, provide a detailed, line-item budget using the same budget categories used in the budget summary form and a separate narrative budget justification. Provide a detailed line-item budget for each year of the project. The narrative should explain: (1) the basis for estimating the costs of professional personnel salaries and wages, including annual salary or hourly wage rate and percentage of staff time; employee benefits per person, including rates and percentage of staff time; employee travel per person/per trip; consultants and subcontracts, including non-employee travel; materials and supplies; other costs, including printing and equipment rental; indirect costs; (2) how the major cost items relate to the proposed activities; and (3) the costs of evaluation. Your detailed budget should also include a detailed breakdown of institutional and other support for the project in addition to the Federal funds requested.

In each year of your budget request, please include funds for the project director and one or two other individuals representing your project to attend the annual FIPSE

Project Directors' Meeting each Fall. This meeting is often held in Washington, DC for three days.

5. Appendices
   Please provide a brief summary (two pages per individual) of the background and experience of key project staff as they relate to the specific project activities you are proposing. Letters of support and commitment from appropriate officials at the sponsoring institution and project partners are also welcomed. Do not attach any other appendices or information unless they are directly relevant to your project, but be aware that it is not advisable to mention crucial information only in the appendices and not in the proposal narrative. Appendices must be attached to all copies of the final proposal to be included in the review.

6. Assurances and Certifications
   Please sign and include the enclosed certifications. When your institutional representative signs the Title Page, the applicant is certifying that it will comply with the assurances contained in these guidelines.

7. Section 427 of GEPA
   Section 427 of the Department of Education's General Education Provisions Act (GEPA) requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description.

   The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from participation in the Federally-funded project or activity.

If you are invited to submit a final proposal, you will be required to provide a description of steps to be taken to overcome these barriers. It need not be lengthy, and you need only to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

8. Intergovernmental Review of Federal Programs (Executive Order 12372)
   This competition is subject to the requirements of Executive Order 12372, Intergovernmental Review of Federal Programs, and the regulations in 34 CFR 79. The objective of the order is to foster a Federal and State intergovernmental coordination and review of proposed Federal financial assistance. Applicants are directed to the appropriate State single point of contact to comply with the State's procedures under this Executive Order. A list of these contacts is available at:

   http://www.sheeo.org/about-sheeo/agencies.htm

Electronic Submission Procedures for Proposals

Note
Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553 (b)(A), the Secretary has determined that the proposed rulemaking is not required.

In Fiscal Year 2004, the U.S. Department of Education is continuing to expand its pilot project of electronic submission of applications to include additional discretionary grant competitions. FIPSE's Comprehensive Program is included in this pilot project. **Applicants to the FY 2004 Comprehensive Program may submit preliminary and/or final proposals in either electronic or paper format.**

Electronic submission involves the use of the electronic Grant Application System (e-APPLICATION, formerly e-GAPS) portion of the Grant Administration and Payment System (GAPS). Please read the following guidelines and follow the directions:

- Your participation is voluntary.
- When you enter the e-application system, you will find information about its hours of operation. We strongly recommend that you do not wait until the application deadline date to initiate an e-Application package.
- You will not receive any additional point value or penalty because you submit a grant application in electronic or paper format.
- We recommend that you access the e-Grant system prior to submission, allowing time to familiarize yourself with the system.
- You can submit all documents required of preliminary or final applicants electronically, including the cover sheet (Form Number ED 40-514), assurances and certifications, and the budget summary form.
- You are still limited to a five-page narrative, with no additional appendices, in the case of preliminary proposals. Final proposals are still limited to a 25-page narrative adhering to the formatting described on p. 30.
- If you have any difficulties understanding the system or submitting your preapplication technically, please call the technical help phone number at the bottom of the screen, not the Comprehensive Program contact person named elsewhere.
- After you electronically submit your application, you will receive an automatic acknowledgement, which will include a PR Application number (an identifying number unique to your application, P116A or B followed by 6 digits).
- Within three working days of submitting your electronic application, you must fax a signed copy of the cover sheet (Form Number ED 40-514) to the Application Control Center after following these steps:

  1) Print the cover sheet from the e-APPLICATION system.

2) Make sure that the institution's Authorizing Representative signs this form.

3) **Place the PR Application number in the blank numbered Item 1, "Application Number" on the cover sheet.**

4) Fax this cover sheet to the Application Control Center at **(202) 260-1349.**

- We may request that applicants send original signature on all other forms at a later date.
- Do NOT deliver a hard copy application to Application Control Center in addition to submitting it electronically. Your confirmation, with the PR number, assures you that the application has been received.

You may access the electronic grant application for the "FIPSE Comprehensive Program" at:

http://e-grants.ed.gov

Application Deadline Date Extension in Case of System Unavailability

If you elect to participate in the e-Application pilot for the Comprehensive Program and you are prevented from submitting your application on the closing date because the e-Application system is unavailable, you will be granted an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. To receive an extension:

1. You must be a registered user of e-Application, and have initiated an e-Application for this competition; and

2. a) The e-Application system must be unavailable for 60 minutes or more between the hours of 8:30 and 3:30 p.m., Washington, D.C. time, on the deadline dates; or

   b) The e-Application system must be unavailable for any period of time during the last hour of operation (that is, for any period of time between 3:30 and 4:30 p.m., Washington D.C. time) on the deadline date. The Department must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension you must contact the e-Grants help Desk at 1-888-336-8930.

The Department must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm the Department's acknowledgement of any system unavailability, you may contact either (1) the FOR FURTHER INFORMATION contact person listed in the *Federal Register* notice or (2) the e-GRANTS Help Desk at 1-888-336-8930.

Parity Guidelines Between Electronic and Paper Submissions

To help ensure parity and a similar look between electronic and paper copies of preliminary grant applications, we are asking each applicant that submits a paper

application to adhere to the following guidelines:

- Submit your application on 8 ½" by 11" paper.
- Leave a 1-inch margin.
- Use consistent font throughout your document. You may also use boldface type, underlining, and italics. However, please do not use colored text.
- Please use black and white, also, for illustrations, including charts, tables, graphs and pictures.
- Place a page number at the bottom right of each page of narrative, beginning with 1; and number your pages consecutively throughout your document.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0514. The time required to complete this information collection is estimated to average 11 hours for the preliminary proposal and 20 hours for the final proposal per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: Joseph Schubart, U.S. Department of Education, ROB-3, Room 4050, 7th and D Streets, SW, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joan Krejci Griggs, Comprehensive Program Coordinator, FIPSE, Room 6164, 1990 K Street, NW, Washington, DC 20006-8544.

Form No: ED 40-514
OMB NO.: 1840-0514
Form Expires : 7/31/2006

The Comprehensive Program
Fund For The Improvement Of Postsecondary Education
Title Page

Check one: Preliminary Proposal ____ Final Proposal ____

This application should be sent to:
No. 84.116A
U.S. Department of Education
Application Control Center
Room 3671, ROB-3
Washington, D.C. 20202-4725

1. Application Number

2. D-U-N-S Number:

Employer Identification No.:

---

3. Project Director *(Name and Mailing Address)*

Telephone: _____
Fax: _____
E-mail: _____

4. Institutional Information
Highest Degree Awarded: Type:
_____ Two-year _____ Public
_____ Four-Year _____ Private
_____ Graduate
_____ Doctorate
_____ Non-degree granting

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5. Federal Funds Requested:
1st Year_____
2nd Year (if applicable)_____
3rd Year (if applicable)_____
Total Amount: _____

6. Duration of Project:
Starting Date _____
Ending Date _____

Total No. of Months _____

---

7. Proposal Title

---

8. Brief Abstract of Proposal **(Do Not Leave This Blank)**

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9. Legal Applicant: *(Name and Mailing Address)*

10. Population Directly Benefiting from the Project:

11. Congressional District of the Applicant Institution:

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12. Certification by Authorizing Official
The applicant certifies to the best of his/her knowledge and belief that the data in this application are true and correct, that the filing of the application has been duly authorized by the governing body of the applicant, and that the applicant will comply with the attached assurances if assistance is approved.

Print Name Title Phone

Signature Date

Instructions for Completing Title Page (Form ED 40-514)

Paperwork Burden Statement: According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1840-514. The time required to complete this information collection is estimated to average 11 hours per response for preliminary proposals and 20 hours per response for full proposals, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of this time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: FIPSE; U.S. Department of Education; 8th Floor; 1990 K. Street, N.W.; Washington, D.C. 20006-8544.

Please note: Item 1 and the Congressional District in Item 10 need be completed only at the final proposal stage.

Item 1. Application Number: Leave blank. An application number will be assigned to your proposal by the Application Control Center.

Item 2. D-U-N-S Number: The D-U-N-S Number is assigned to organizations by Dun & Bradstreet. If you do not know your D-U-N-S Number, call the toll-free telephone number maintained by Dun & Bradstreet: 800-333-0505 (Monday - Friday, 8:30 a.m. - 6:00 p.m. Eastern time). **Employer Identification Number**: Enter the 9-digit number assigned to your organization for reporting to the Internal Revenue Service. It is also called the Federal Identification Number and can be obtained from your business office. If you do not have one, your business office should contact the Internal Revenue Service. **Note**: No grant can be awarded without these two numbers.

Item 3. Project Director: Enter the name and complete mailing address of the designated Project Director. If no one has been selected, so indicate and enter the name of the person who can be contacted to discuss the programmatic aspects of the project. ***Note: The name and address listed here will be used to mail proposal status notifications. Do not forget to include the telephone number and e-mail address. Both this address and the Legal Applicant address (Item 9) should be fully completed.***

Item 4. Institutional Information: Check the appropriate spaces to indicate both the type of control and the highest degree level granted by the applicant institution or organization.

Item 5. Federal Funds Requested: Enter the amount of Federal funds being requested from FIPSE in the first, second, and third years of the project. Under "Total Amount" enter the cumulative amount requested for the life of the project.

Item 6. Duration of Project: Enter the beginning date of the project. Enter the ending date and the total number of months covered. Comprehensive Program projects can be proposed for one, two, or three years of funding.

Item 7. Proposal Title: Self-explanatory.

Item 8. Brief Abstract of Proposal: This description should be concise and confined to the space provided, but in no case should you leave this space blank.

Item 9. Legal Applicant: Enter the name and complete mailing address of the nonprofit institution or agency which will serve as the legal applicant (fiscal agent). When more than one institution or agency is involved, enter the name of the one which will be responsible for budget control. ***Official notifications of grant awards are sent to this address. Remember to complete this section fully.***

Item 10. Population Directly Benefiting from the Project: Please be specific and include both the approximate number to be benefited and their general characteristics (e.g. "200 non-traditional students").

Item 11. Congressional District of the Applicant Institution: Self-explanatory.

Item 12. Certification by Authorizing Official: Enter the name, title, and phone number of the official who has the authority both to commit the organization to accept Federal funding and to execute the proposed project. Submit the original ink-signed copy of the authorizing official's signature.

Budget Summary*

A. Budget Items Requested from FIPSE		Year 1	Year 2	Year 3
Direct Costs:				
1. Salaries & Wages (professional & clerical employees)	$			
2. Employee Benefits				
3. Travel (employees only)				
4. Equipment (purchase)				
5. Materials and Supplies				
6. Consultants and Contracts (including any travel)				
7. Other (equipment rental, printing, etc.)				
Total Direct Costs (add 1-7 above):				
Indirect Costs:				
Total Requested from FIPSE: (These figures should appear on the title page)	$			

B. Project Costs Not Requested from FIPSE (institutional and other support):	$			
1. Salaries & Wages (professional & clerical employees)				
2. Employee Benefits				
3. Travel (employees only)				
4. Equipment (purchase)				
5. Materials and Supplies				
6. Consultants and Contracts (including any travel)				
7. Other (equipment rental, printing, etc.)				
Total Direct Costs (add 1-7 above):				
Indirect Costs:				
Total Institutional and Other Support:	$			

*Budget items, including institutional support figures, must be detailed in the budget narrative of the final proposal.

Assurances

The Applicant hereby assures and certifies that it will comply with the regulations, policies, guidelines and requirements, as they relate to the application, acceptance and use of Federal funds for this Federally assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been dully adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.

2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of the Act, no person in the United States shall, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effect this agreement.

3. It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.

4. It will comply with Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance.

5. It will comply with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et seq., which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance.

6. It will comply with the Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 et seq., which prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance.

7. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and Federally-assisted programs.

8. It will comply with provisions of the Hatch Act which limit the political activity of employees.

9. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.

10. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

11. It will give the sponsoring agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.

12. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.

13. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.

14. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, P.L. 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on or after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.

15. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 U.S.C. 470), Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 U.S.C. 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such property.

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

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1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over $100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

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2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c)Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

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3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee_s workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

_____

_____

_____

Check [ ] if there are workplaces on file that are not identified here.

DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

Survey on Ensuring Equal Opportunity for Applicants

Do not enter information below unless instructed to do so.

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

Instructions for Submitting Survey

If submitting hard copy, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

If submitting electronically, please include the PR Award Number assigned to your e-application in the box above entitled "Do not enter information below unless instructed to do so." Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?

   ❑ Yes ❑ No

2. How many full-time equivalent employees does the applicant have?

   (Check only one box).

   ❑ 3 or Fewer ❑ 15-50
   ❑ 4-5 ❑ 51-100
   ❑ 6-14 ❑ over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

   ❑ Less Than $150,000
   ❑ $150,000 - $299,999
   ❑ $300,000 - $499,999
   ❑ $500,000 - $999,999
   ❑ $1,000,000 - $4,999,999
   ❑ $5,000,000 or more

4. Is the applicant a faith-based/religious organization?

   ❑ Yes ❑ No

5. Is the applicant a non-religious community-based organization?

   ❑ Yes ❑ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

   ❑ Yes ❑ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

   ❑ Yes ❑ No

8. Is the applicant a local affiliate of a national organization?

   ❑ Yes ❑ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

3. Annual budget means the amount of money your organization spends each year on all of its activities.

4. Self-identify.

5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.

6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.

7. Self-explanatory.

8. Self-explanatory

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

USE THIS CHECKLIST IN PREPARING YOUR APPLICATION PACKAGE

Preliminary and Final Proposals:

_____ Title page has been completed according to the instructions in this booklet.

_____ Title page has been signed and dated by an authorized official and the signed original has been included.

_____ Each proposal copy has been stapled or otherwise fastened (no binders or folders) with a title page on top of each copy.

Include in Your Proposal Package:

Preliminary Proposal

_____ One (1) original plus two (2) copies of the entire proposal. Each copy should be consecutively numbered and include the following:

[ ] signed title page, on top
[ ] proposal narrative, not to exceed five (5) double-spaced pages
[ ] completed 1-page budget summary
[ ] completed survey on Ensuring Equal Opportunity for Applicants

_____ Three (3) additional copies of the title page.

Preliminary proposals must be postmarked or hand-delivered by November 3, 2003. Proposals submitted electronically are not required to send copies.

Final Proposal

_____ One (1) original plus two (2) copies of the entire proposal. (Two (2) additional copies are also requested but not required.) Each copy should be consecutively numbered and include the following:

[ ] signed title page, on top
[ ] one-page abstract of the proposed project
[ ] proposal narrative, not to exceed twenty-five (25) double-spaced pages
[ ] completed 1-page budget summary and separate detailed budget and narrative
[ ] partner contact information (if applicable)
[ ] appendices, including the Key Project Personnel summary and any letters of support
[ ] response to Section 427 of GEPA (equitable access statement)
[ ] signed certification pages from the application booklet and assurances page

_____ Three (3) additional copies of the title page

Final Proposals must be postmarked or hand-delivered by March 22, 2004. Proposals submitted electronically are not required to send copies.

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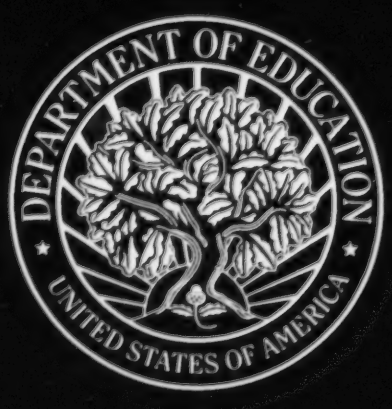

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